

OFFICE OF THE KANSAS SECURITIES COMMISSIONER

INVESTOR EDUCATION MICRO-GRANT INSTRUCTIONS AND PROCESS

Summary: The Office of the Kansas Securities Commissioner (“KSC”) develops and implements financial literacy and investor education initiatives to inform the public about investing in securities and the prevention of securities fraud. As part of this mission, the Commissioner may collaborate with public and nonprofit organizations with an interest in investor education. The KSC has determined that Micro-Grants can be used to provide financial literacy programs to audiences affiliated with numerous groups throughout Kansas.

Any entity interested in obtaining a grant from the KSC should submit a completed Kansas Investor Education Micro-Grant Application Form. The Micro-Grant Program is subject to the following:

- The Micro-Grants are funded on a first-come, first-serve basis until the designated funds are exhausted for the Fiscal Year.
- Each Micro-Grant is limited to the amount of \$250.
- Each Micro-Grant may be paid in installments. Some installments may be paid after adequate attendance is confirmed.

To be eligible for a Micro-Grant, the applying group must meet the following criteria:

- At least 10 individuals must commit to attend the financial education program.
- A survey must be completed by all individuals in attendance.
- The Group must submit a report to the KSC on the program execution.
- The Program must use a curriculum approved in advance by the KSC.
- The Program must be made open to the public.
- The group must secure its own location.
- The group must be willing to provide other information requested by the Commissioner

Process: (1) The Group submits an application; (2) the application is reviewed by the Director of Investor Education who makes a recommendation and notifies the Grant Committee (See KSC Protocol for Investor Education Grant Applications) of the recommendation; (3) Members of the Grant Committee shall have ten days to request a meeting of the Grant Committee to review the recommendation and possibly amend the recommendation; (4) if a meeting is requested, the Grant Committee shall meet and issue a recommendation to the Commissioner; (5) If no meeting is requested, the recommendation is forwarded to the Commissioner; (6) the Commissioner makes a final determination regarding the disbursement of grant funds from the Investor Education and Protection Fund.

The Micro-Grant approval process should take no longer than thirty days from the submission of the application.

Contact and Application Submission: Further information may be requested and Micro-Grant applications may be submitted using the following contact information:

Micro-Grant Program
ATTN: Director of Investor Education
4200 Somerset, Ste. 421
Prairie Village, KS 66208
Shannon.stone@ksc.ks.gov

OFFICE OF THE KANSAS SECURITIES COMMISSIONER
INVESTOR EDUCATION
MICRO-GRANT APPLICATION FORM

Date of Application: _____

Legal Name of Organization to which grant would be paid: _____ (hereinafter, "Applicant")

Federal Employer ID Number of Organization: _____

Address: _____

Name of Executive Director or CEO: _____ (hereinafter, "Applicant Officer")

Contact Person (if not Executive Director/CEO above): _____

Phone Number: _____ Fax Number: _____

E-mail: _____ Website: _____

Purpose of Grant: _____

Proposed Curriculum: _____

Amount Requested: \$ _____ Total Project Cost: \$ _____

I, the aforementioned Applicant Officer, hereby certify that none of the executive officers or members of the board of directors of the Applicant: (A) have filed a registration statement that is subject to a currently effective registration stop order entered by any state securities administrator or the SEC within the last five years; (B) have been convicted within the last five years of any criminal offense in connection with the offer, purchase, or sale of any security, or involving fraud or deceit; (C) is subject to any current state or federal administrative enforcement order or judgment, entered within the last five years, finding fraud or deceit in connection with the purchase or sale of any security; or (D) is subject to any current order, judgment, or decree of any court of competent jurisdiction, entered within the last five years, temporarily, preliminarily, or permanently restraining or enjoining the party from engaging in or continuing to engage in any conduct or practice involving fraud or deceit in connection. I further undertake to monitor for any events that constitute a disqualification condition after the date of my signature below, and if any such events occur, I will submit full disclosure of the events resulting in a disqualification condition to the General Counsel in the Office of the Kansas Securities Commissioner.

Applicant agrees to disengage in any lobbying activity directed at influencing members of the public, (including school officials or other public or private organizations who have an interest in financial education) to urge a negative view of other KSC grantees or agency-sponsored educational programming or activities.

Applicant further agrees that neither it nor any of its affiliates will directly or indirectly, express (through any form of communication) any statement that might reasonably be construed to be derogatory, critical of the Office of the Kansas Securities Commissioner or any of its employees, agents or other agency-sponsored programs, or be designed to malign, harm, disparage, defame or damage the reputation of the agency, its business or any of its sponsored programming.

Executive Director or CEO Officer

Date

OFFICE OF THE KANSAS SECURITIES COMMISSIONER
INVESTOR EDUCATION
MICRO-GRANT PROGRAM SPONSOR'S REPORT

Date of Survey: _____ Name of Event Sponsor: _____

Name of Program Used: _____

Location of Event: _____

Did you provide literature to the audience about our office and its role? _____

How many attendees were present? _____ Was the Event successful? _____

Was the Event advertised? _____ If so, what advertising was done? _____

Did members of the general public attend: _____ If so, how many individuals? _____

What demographic was the Event designed to reach? _____

What Topics were discussed? _____

What feed-back have you received about this Program? _____

How long was the Event: _____ Will you apply for a Micro-Grant again? _____

PLEASE ATTACH ALL PROGRAM RECIEPTS FOR THIS EVENT TO THIS FORM

OFFICE OF THE KANSAS SECURITIES COMMISSIONER
INVESTOR EDUCATION
MICRO-GRANT PROGRAM AUDIENCE SURVEY

Date of Survey: _____

Name of Event Sponsor: _____

Location of Event: _____

Did you find this event helpful to your personal finances? (Circle a number)

(Not Helpful) 1 2 3 4 5 6 7 8 9 10 (Very helpful)

Would you recommend this program to your family and friends? (Circle a number)

(No) 1 2 3 4 5 6 7 8 9 10 (Yes)

Was the location of the event an adequate learning environment? (Circle a number)

(No) 1 2 3 4 5 6 7 8 9 10 (Yes)

Did this program increase your understanding of investments? (Circle a number)

(No) 1 2 3 4 5 6 7 8 9 10 (Yes)

Do you feel that after this program you can better identify fraud? (Circle a number)

(No) 1 2 3 4 5 6 7 8 9 10 (Yes)

Prior to this program, had you heard of the Office of the Kansas Securities Commissioner? (Circle a number)

(No) 1 2 3 4 5 6 7 8 9 10 (Yes)

After this program, are you more or less likely to contact the Office of the Kansas Securities Commissioner? (Circle a number)

(Less likely) 1 2 3 4 5 6 7 8 9 10 (More likely)

Are you aware that tax dollars were not used to fund this program? (Circle a number)

(No) 1 2 3 4 5 6 7 8 9 10 (Yes)

Is there anything that the Grant Funders should know about this Program?
